

16179 U.S. PTO

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**UTILITY PATENT APPLICATION TRANSMITTAL**

(For new non-provisional applications under 37 CFR § 1.53(b))

|                                    |   |
|------------------------------------|---|
| Atty. Dkt. No:                     | 5681-73400  |
| Inventor(s):<br>Raghavendra J. Rao |   |
| Title:                             | STORAGE SYSTEM<br>INCLUDING<br>HIERARCHICAL CACHE<br>METADATA |

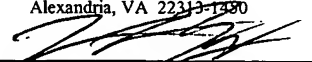
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CERTIFICATE OF EXPRESS MAIL  
UNDER 37 C.F.R. §1.10

"Express Mail" mailing label number: EL990142809US  
DATE OF DEPOSIT: February 10, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to:

Commissioner for Patents  
Box Patent Application  
P.O. Box 1450  
Alexandria, VA 22313-1450

  
Derrick Brown

16834  
10/17/95  
SPTO

6834 U.S. PTO  
10/775426

021004

## Application Elements

1. ☒ Filing Fee

The filing fee is calculated as shown below.

|                           |    |      |   |    |   |         |    |         |
|---------------------------|----|------|---|----|---|---------|----|---------|
| Total Claims              | 21 | - 20 | = | 1  | x | \$18.00 | =  | \$18.00 |
| Independent Claims        | 2  | - 3  | = | -1 | x | \$86.00 | =  |         |
| Multiple Dependent Claims |    | Fee: |   |    |   |         |    |         |
| Basic Fee:                |    |      |   |    |   |         | \$ | 770.00  |
| Total:                    |    |      |   |    |   |         | \$ | 788.00  |

- ☒ The Commissioner is hereby authorized to charge the filing fee and any other fees which may be required or credit any overpayment to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C.  
Deposit Account No. 501505/5681-73400.
2. ☒ Specification  
22 page(s) of specification; 4 page(s) of claims, 1 page(s) of abstract
3. ☒ Drawings  
Formal Figure(s) 1-6 on 6 sheet(s)
4. ☒ Oath or Declaration  
☒ Newly executed  
☐ Copy from a prior application (see 37 C.F.R. § 1.63(d))  
Deletion of Inventor(s) (in continuation or divisional applications):  
☐ Delete the following inventor(s) named in the prior non-provisional application:
- ☐ The inventor(s) to be deleted are set forth on a signed sheet attached hereto.
5. ☐ The entire disclosure of the prior application referred to above is considered to be part of the accompanying application and is hereby incorporated by reference herein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

- ☐ Computer Readable copy  
☐ Paper Copy (identical to computer copy)  
☐ Statement verifying identity of above copies
8. ☒ Assignment Papers  
☒ **Assignee: Sun Microsystems, Inc.**
9. Power of Attorney  
☒ Is attached.  
☐ The power of attorney appears in the original papers of the prior application.  
☐ Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.
10. ☐ Information Disclosure Statement (IDS)  
☐ Copies of IDS Citations
11. Amendments  
☐ A preliminary amendment is enclosed.  
☐ Cancel in this application claim(s) \_\_\_\_\_ before calculating the filing fee. At least one independent claim is retained for filing purposes.  
☐ Amend the specification by inserting before the first line the sentence: \_\_\_\_\_.
12. ☒ Return Receipt Postcard
13. Small Entity Status  
☐ A small entity statement is enclosed.  
☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.  
☐ Is no longer claimed.
14. ☐ Priority of foreign application number \_\_\_\_\_, filed on \_\_\_\_\_ in \_\_\_\_\_  
is claimed under 35 U.S.C. §§ 119(a)-(d)  
☐ Certified copy of priority document attached
15. ☐ Petition under 37 C.F.R. § 136 for Extension of Time
16. ☒ Fee Authorization form
17. ☒ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)

Address all future correspondence to:


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Austin, Texas 78767  
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Signature

Name

Registration No.

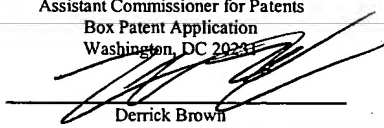
Date

  
Stephen J. Curran

50,664

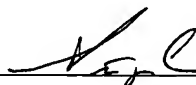
February 10, 2004

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| <b>CERTIFICATE OF EXPRESS MAIL<br/>UNDER 37 C.F.R. §1.10</b><br><br>"Express Mail" mailing label number: EL990142809US<br>DATE OF DEPOSIT: February 10, 2004<br><br>I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to:<br><br>Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231<br><br>Derrick Brown |  | <b>REQUEST AND CERTIFICATION<br/>UNDER<br/>35 U.S.C. 122(b)(2)(B)(i)</b> |   |
|   |  | Atty Docket Number:  | 5681-73400  |
|   |  | First Named Inventor:  | Raghavendra J. Rao                                      |
|   |  | Title:   | STORAGE SYSTEM INCLUDING<br>HIERARCHICAL CACHE METADATA |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b)

February 10, 2004  
Date

  
Signature

Stephen J. Curran      50,664  
Typed or printed name      Reg. No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.